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Attorney of Record

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): James R. Goodman, *et al.*
Serial No.: 10/775,448
Filed: February 10, 2004
For: Computer Architecture Providing Transactional,
Lock-Free Execution of Lock-Based Programs
Grp. Art Unit: 2127
Docket No.: 960296.00019

INFORMATION DISCLOSURE STATEMENT

The following are submitted in the above-identified application in compliance with 37 CFR 1.97 & 1.98:

- ☒ A list of documents on Form PTO-1449 together with copies of each identified document;
- ☐ A translation or a concise explanation of each non-English language document is enclosed herewith.

This paper is submitted in accordance with:

- ☒ 37 CFR 1.97(b) (within 3 months of filing or prior to mailing of 1st Office Action)
- ☐ 37 CFR 1.97(c) (before Final Office Action or Notice of Allowance); and
 - ☐ The required certification made under the heading "Certification" below;
or
 - ☐ The \$_____ fees specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized under the heading "Authorization to Charge Fees" below.

- ☐ 37 CFR 1.97(d) (before issue fee payment); and
- a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee \$ _____ required by 37 CFR 1.17(i)(1) is authorized under the heading "Authorization to Charge Fees". (Direct this letter to "Attention Petitions Examiner" and if applicable include batch locator information: e.g. "Allowed Files, Batch _____, Date of Allowance _____"), and
- b) The required Certification is stated under the heading "Certification" below.

☐ Certification

- ☐ Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
- ☐ No item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.

☒ Authorization to Charge Fees

Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 17-0055.

Respectfully submitted,

JAMES R. GOODMAN, *et al*

By: _____

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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	10/775,448
Filing Date	February 10, 2004
First Named Inventor	James R. Goodman
Art Unit	2127
Examiner Name	
Attorney Docket Number	960296.00019

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U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	1	US- 4,318,182	03/02/1982	Bachman et al.	
	2	US- 4,320,451	03/16/1982	Bachman et al.	
	3	US- 5,136,691	08/04/1992	Baror	
	4	US- 5,185,878	02/09/1993	Baror et al.	
	5	US- 6,014,728	01/11/2000	Baror	
	6	US- 6,460,124	10/01/2002	Kagi et al.	
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Attorney Docket Number	960296.00019

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OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	1	JAMES R. GOODMAN, et al., Efficient Synchronization Primitives For Large-Scale Cache-Coherent Multiprocessors, 1989 ACM 0-89791-300-0/89/0004/0064,	
		Computer Sciences Department, University of Wisconsin-Madison, Madison, Wisconsin	

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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